

PART 3b—COLLECTION, MAINTENANCE, USE, AND DISSEMINATION OF RECORDS OF IDENTIFIABLE PERSONAL INFORMATION

Subpart A—General

Sec.

- 3b.1 Purpose.
- 3b.2 Definitions.
- 3b.3 Notice requirements.
- 3b.4 Government contractors.
- 3b.5 Legal guardians.

Subpart B—Standards for Maintenance and Collection of Records

- 3b.201 Content of records.
- 3b.202 Collection of information from individuals concerned.
- 3b.203 Rules of conduct.
- 3b.204 Safeguarding information in manual and computer-based record systems.

Subpart C—Rules for Disclosure of Records

- 3b.220 Notification of maintenance of records to individuals concerned.
- 3b.221 Access of records to individuals concerned.
- 3b.222 Identification requirements.
- 3b.223 Fees.
- 3b.224 Requests to amend records and disputes thereon.
- 3b.225 Written consent for disclosure.
- 3b.226 Accounting of disclosures.
- 3b.227 Mailing lists.

Subpart D—Rules for Exemptions

- 3b.250 Specific exemptions.

AUTHORITY: Federal Power Act, as amended, sec. 309, 49 Stat. 858-859 (16 U.S.C. 825h); Natural Gas Act, as amended, sec. 16, 52 Stat. 830 (15 U.S.C. 717o); and Pub. L. 93-579 (88 Stat. 1896).

SOURCE: Order 536, 40 FR 44288, Sept. 25, 1975, unless otherwise noted.

Subpart A—General

§ 3b.1 Purpose.

Part 3b describes the Federal Power Commission's program to implement the provisions of the Privacy Act of 1974 (Pub. L. No. 93-579, 88 Stat. 1896) to allow individuals to have a say in the collection and use of information which may be used in determinations affecting them. The program is structured to permit an individual to determine what records pertaining to him and filed under his individual name, or

some other identifying particular, are collected, maintained, used or disseminated by the Commission, to permit him access to such records, and to correct or amend them, and to provide that the Commission collect, use, maintain and disseminate such information in a lawful manner for a necessary purpose.

§ 3b.2 Definitions.

In this part:

(a) *Agency*, as defined in 5 U.S.C. 551(l) as “* * * each authority of the Government of the United States, whether or not it is within or subject to review by another agency, * * *”, includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency [5 U.S.C. 552(e)];

(b) *Individual* means a citizen of the United States or an alien lawfully admitted for permanent residence;

(c) *Maintain* includes, maintain, collect, use, or disseminate;

(d) *Record* means any item, collection or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

(e) *System of records* means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

(f) *Statistical record* means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of title 13 of the United States Code;

(g) *Routine use* means, with respect to the disclosure of a record, the use of

§ 3b.3

18 CFR Ch. I (4–1–00 Edition)

such record for a purpose which is compatible with the purpose for which it was collected; and

(h) *Disclosure* means either the transmittal of a copy of a record or the granting of access to a record, by oral, written, electronic or mechanical communication.

§ 3b.3 Notice requirements.

(a) The Commission will publish at least annually in the FEDERAL REGISTER a notice identifying the systems of records currently maintained by the Commission. For each system of records, the notice will include the following information:

- (1) The name and location of the system;
- (2) The categories of individuals on whom records are maintained in the system;
- (3) The categories of records maintained in the system;
- (4) The specific statutory provision or executive order, or rule or regulation issued pursuant thereto, authorizing the maintenance of the information contained in the system;
- (5) Each routine use of the records contained in the system, including the categories of users and the purposes of such use;
- (6) The policies and practices regarding the storage, retrievability, access controls, and retention and disposal of the records;
- (7) The title and business address of the Commission official who is responsible for the system of records;
- (8) The procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;
- (9) The procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records, and how he can contest its contents; and
- (10) The categories of sources of records in the system.

(b) At least thirty days prior to its operation, the Commission will publish in the FEDERAL REGISTER a notice of its intention to establish a new system of records reciting the information required pursuant to paragraphs (a) (1) through (10) of this section and notice

of any major change to an existing system.

(c) The Commission will publish in the FEDERAL REGISTER a notice of its intention to establish any new or intended routine use of the information in an existing system of records at least thirty days prior to the disclosure of the record for that routine use. A new routine use is one which involves disclosure of records for a new purpose compatible with the purpose for which the record is maintained or which involves disclosure to a new recipient or category of recipients. At a minimum, the notice will contain the following information:

- (1) The name of the system of records for which the routine use is to be established;
- (2) The authority authorizing the maintenance of the information contained in the system;
- (3) The categories of records maintained in the system;
- (4) The proposed routine use(s);
- (5) The categories of recipients for each proposed routine use; and
- (6) Reference to the public notice in the FEDERAL REGISTER under which the existing system had already been published.

§ 3b.4 Government contractors.

Systems of records operated by a contractor, pursuant to a *contract*, on behalf of the Commission, which are designed to accomplish a Commission function, are considered, for the purposes of this part, to be maintained by the Commission. A *contract* covers any contract, written or oral, subject to the Federal Procurement Regulations. The contractual instrument will specify, to the extent consistent with the Commission's authority to require it, that the systems of records be maintained in accordance with the requirements of this part.

§ 3b.5 Legal guardians.

For the purposes of this part, the parent of any minor, or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act on behalf of the individual.